

ATTORNEY DOCKET NO. 3524/4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Kevin Foley et al.  
Serial No. : 09/412,408 Examiner: Not assigned  
Filed : October 5, 1999 Group Art Unit: 2761  
Title : ELECTRONIC TRADING SYSTEM SUPPORTING  
ANONYMOUS NEGOTIATION AND INDICATORS OF  
INTEREST

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING  
PARTS OF APPLICATION--FILING DATE GRANTED"  
AND  
REQUEST FOR EXTENSION OF TIME**

Sir:

We acknowledge receipt of the Notice To File Missing Parts of Application--Filing Dated  
Granted dated October 28, 1999.

Enclosed are:

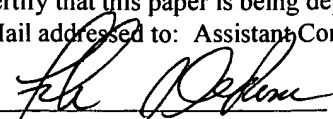
- Copy of the Notice
- Transmittal Form
- Fee Transmittal
- Request for Extension of Time (below)
- Executed Declaration and Power of Attorney (3 pages)
- Check in the amount of \$2,048 (\$40 excess payment)

04/11/2000 KZENDIE 00000031 09412408

01 FC:117

870.00 OP

I hereby certify that this paper is being deposited this date with the U.S. Postal Service as  
First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

  
Frank J. DeRosa

3-28-2000  
Date



Request for Extension

A three month extension of time to and including March 28, 2000 is hereby requested under 37 C.F.R. §1.136(a) to respond to the Notice. The extension fee of \$870 is included in the enclosed check for \$2,048.

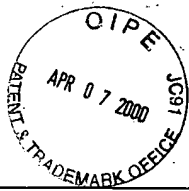
The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to our Deposit Account No. 02-4270.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Frank J. DeRosa", written over a horizontal line.

Dated: March 28, 2000

Frank J. DeRosa  
Reg. No. 26,543  
BROWN RAYSMAN MILLSTEIN FELDER  
& STEINER LLP  
120 West Forty-Fifth Street  
New York, New York 10036  
(212) 944-1515



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/412,408 10/05/99 BLOOMBERG 3524.4

0212/1028

FRANK J DEROSA  
BROWN RAYSMAN MILLSTEIN FELDER & STEINER  
120 WEST 45TH STREET  
NEW YORK NY 10036

NOT ASSIGNED

DATE MAILED: 2761

10/28/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 1208.00.

☒ 1. The statutory basic filing fee is:

- ☒ missing;  
☐ insufficient.

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 162.00 for 9 total claims over 20.  
\$ 156.00 for 2 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

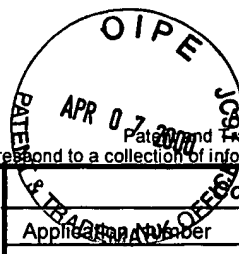
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

04/11/2000 KZENIE 00000032 024270 09412408

01 FC:102  
02 FC:103  
03 FC:105

156.00 OP  
162.00 OP  
130.00 OP

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) \$2,048

Complete if Known	
Application Number	09/412,408
Filing Date	10/5/99
First Named Inventor	Foley et al.
Examiner Name	Not assigned
Group / Art Unit	2761
Attorney Docket No.	3524/4

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																					
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 02-4270</p> <p>Deposit Account Name: Brown Raysman Millstein Felder &amp; Steiner LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105 130</td> <td>205 65</td> <td>Surcharge - late filing fee or oath</td> <td>130</td> </tr> <tr> <td>127 50</td> <td>227 25</td> <td>Surcharge - late provisional filing fee or cover sheet.</td> <td></td> </tr> <tr> <td>139 130</td> <td>139 130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>147 2,520</td> <td>147 2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>112 920*</td> <td>112 920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113 1,840*</td> <td>113 1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115 110</td> <td>215 55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>116 380</td> <td>216 190</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>117 870</td> <td>217 435</td> <td>Extension for reply within third month</td> <td>870</td> </tr> <tr> <td>118 1,360</td> <td>218 680</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128 1,850</td> <td>228 925</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119 300</td> <td>219 150</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>120 300</td> <td>220 150</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121 260</td> <td>221 130</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>138 1,510</td> <td>138 1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140 110</td> <td>240 55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>141 1,210</td> <td>241 605</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>142 1,210</td> <td>242 605</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>143 430</td> <td>243 215</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>144 580</td> <td>244 290</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>122 130</td> <td>122 130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123 50</td> <td>123 50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126 240</td> <td>126 240</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>581 40</td> <td>581 40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146 690</td> <td>246 345</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>149 690</td> <td>249 345</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify) _____</td> <td></td> <td></td> </tr> <tr> <td colspan="2">Other fee (specify) _____</td> <td></td> <td></td> </tr> </tbody> </table>		Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath	130	127 50	227 25	Surcharge - late provisional filing fee or cover sheet.		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 380	216 190	Extension for reply within second month		117 870	217 435	Extension for reply within third month	870	118 1,360	218 680	Extension for reply within fourth month		128 1,850	228 925	Extension for reply within fifth month		119 300	219 150	Notice of Appeal		120 300	220 150	Filing a brief in support of an appeal		121 260	221 130	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive - unavoidable		141 1,210	241 605	Petition to revive - unintentional		142 1,210	242 605	Utility issue fee (or reissue)		143 430	243 215	Design issue fee		144 580	244 290	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 240	126 240	Submission of Information Disclosure Stmt		581 40	581 40	Recording each patent assignment per property (times number of properties)		146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))		149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))		Other fee (specify) _____				Other fee (specify) _____			
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SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Frank J. DeRosa	Registration No. (Attorney/Agent)	26,543
Signature	<i>Frank J. DeRosa</i>	Telephone	(212) 944-1515
		Date	3/28/00

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



SECTOR  
\$

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (12-97)  
Approved for use through 9/30/00. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/412,408	
	<b>Filing Date</b>	10/5/99	
	<b>First Named Inventor</b>	Foley et al.	
	<b>Group Art Unit</b>	2761	
	<b>Examiner Name</b>	Not assigned	
<b>Total Number of Pages in This Submission</b>	8	<b>Attorney Docket Number</b>	3524/4

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
<b>Remarks</b> <div style="border: 1px solid black; height: 40px; width: 100%;"></div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Frank J. DeRosa Brown Raysman Millstein Felder & Steiner LLP
Signature	
Date	March 28, 2000

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 3/28/00			
Typed or printed name	Frank J. DeRosa		
Signature		Date	3/28/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.